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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/622,992

07/18/2003

Ajay Sarkar

3053

7590

12/11/2006

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EXAMINER

DINH, KHANH Q

ART UNIT

PAPER NUMBER

2151

DATE MAILED: 12/11/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

10/622,992

Applicant(s)

SARKAR, AJAY

Examiner

Khanh Dinh

Art Unit

2151

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 July 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 3/17/05
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

### DETAILED ACTION

1. Claims 1-39 are presented for examination.

### ***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-39 are rejected under 35 U.S.C. 102(e) as being anticipated by Fletcher et al. (hereafter Fletcher), US pub. No.2003/0135628 A1.

As to claim 1, Fletcher discloses an arrangement for web services management or integration, comprising:

a transaction adapter module for receiving client requests (using service requester 1 fig.1) in a client-specific protocol and having one or more transaction adapters, each of said transaction adapters for translating at least a portion of said client request to a predetermined protocol; and a query adapter module (1 fig.1) for communication with a set of query services and having one or more query adapters, each of said query adapters for translating at least a portion of said client request from said predetermined protocol to a service-specific protocol; wherein said transaction adapter module and said query adapter module are modularly interfaceable with a

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service broker (3 fig.1) adapted to direct queries to said query services (service requester can search for a particular service requested from a user, see fig.1, [0008] to [009] and [0039]), and wherein said predetermined protocol allows said transaction adapter module, said query adapter module and said service broker to be decoupled, thereby allowing dynamic loading of adapters to at least one of said transaction adapter module and said query adapter module (see figs. 3A, 3B, abstract, [0044] to [0049]).

As to claim 2, Fletcher discloses wherein said transaction adapter module is adapted to isolate a query within said client request (see [0052] to [0056]).

As to claim 3, Fletcher discloses wherein a WSDL definition is used to present said isolated query to said service broker (see [0051] to [0052]).

As to claim 4, Fletcher discloses wherein said predetermined protocol is XML-based (see [0072]).

As to claim 5, Fletcher discloses wherein said predetermined protocol is SOAP (see [0078] to [0079]).

As to claims 6-8, Fletcher discloses wherein said transaction adapter module is adapted to apply a set of policies to said client requests, said set of policies is predetermined

and said set of policies is dynamically configurable (see [0062] to [0065] and [0072] to [0074]).

As to claims 9-11, Fletcher discloses said set of policies includes client authentication; said set of policies includes security management and said set of policies includes performance management (see [0062] to [0065] and [0072] to [0074]).

As to claims 12-14, Fletcher discloses said set of policies includes fault management, said set of policies includes resource management and said set of policies includes customer management (see [0047] to [0049] and [0072] to [0074]).

As to claims 15-17, Fletcher discloses said query adapter module is adapted to apply a set of policies to said client requests, said set of policies is predetermined and said set of policies is dynamically configurable (see [0062] to [0065] and [0072] to [0074]).

As to claims 18-20, Fletcher discloses said service broker is adapted to apply a set of policies to said client requests, said set of policies is predetermined and said set of policies is dynamically configurable (see fig.5A, [0058] to [0062]).

As to claims 21-23, Fletcher discloses said transaction adapter module and said query adapter module are further modularly interfaceable with other adapter modules, said transaction adapter module comprises: a director module for determining the client-

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specific protocol and directing the message to a corresponding adapter and said transaction adapter module further comprises: a policy module for determining and applying policies corresponding to at least one of a client, a transaction and a service (see [0044] to [0049]).

As to claim 24, Fletcher discloses a graphical user interface for allowing a user to reconfigure at least one of said transaction adapter module and said query adapter module (defining web services to users, see [0047] to [0051] and [0061]).

As to claim 25, Fletcher discloses a web services arrangement, comprising: a transaction adapter module for receiving client requests (using service requester 1 fig.1) and having one or more transaction adapters; and a query adapter module for communication with a set of query services and having one or more query adapters; and a service broker (3 fig.1) adapted to receive queries from said transaction adapter module and to access service resources at least partly through said query adapter module (service requester can search for a particular service requested from a user, see fig.1, [0008] to [0009] and [0039]), wherein said service broker includes a mapping of each service to one or more operational nodes corresponding to one or more operations required to perform said service (see figs. 3A, 3B, abstract, [0044] to [0049]).

As to claims 26-28, Fletcher discloses at least one node corresponds to another service, a graphical user interface adapted to allow a user to reconfigure said mapping

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and said graphical user interface is further adapted to allow a user to reconfigure policies (see [0062] to [0065] and [0072] to [0074]).

As to claim 29, Fletcher discloses said policies includes client authentication (checking user profiles, see fig.5A, [0060] to [0061]).

As to claims 30-32, Fletcher discloses said policies includes security management, said policies includes performance management and said policies includes fault management (see [0062] to [0065] and [0072] to [0074]).

As to claims 33-35, Fletcher discloses said policies includes resource management, said policies includes customer management and said mapping is optimized for minimum cost (see [0062] to [0065] and [0072] to [0074]).

As to claims 36 and 37, Fletcher discloses said mapping is optimized using embedded logic and said mapping is optimized using artificial intelligence (see [0062] to [0065] and [0072] to [0074]).

As to claims 38 and 39, Fletcher discloses said mapping is optimized using a rules-based engine and a graphical user interface adapted to allow a user to reconfigure business process flow management (see [0062] to [0065] and [0072] to [0074]).

***Other prior art cited***

4. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- a. Suryanarayana, US pub. No.2003/0112791 A1.
- b. Anderson et al, US pub. No.20060206440.

***Conclusion***

5. Claims 1-39 are rejected.

6. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Khanh Dinh whose telephone number is (571) 272-3936. The examiner can normally be reached on Monday through Friday from 8:00 A.m. to 5:00 P.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Zarni Maung, can be reached on (571) 272-3939. The fax phone number for this group is (571) 273-8300.

*A shortened statutory period for reply is set to expire THREE months from the mailing date of this communication. Failure to respond within the period for response will cause the application to become abandoned (35 U. S. C . Sect. 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(A).*

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status



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information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

**Any response to this action should be mailed to:**

Commissioner for patents  
P O Box 1450  
Alexandria, VA 22313-1450



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